

# ASI Standards Setting and Revision Procedure

Version 5.0 September 2024

## 1. PURPOSE

This is a procedure for the development, approval, publication, and revision of ASI Standards. It reflects a commitment by ASI to:

- Openness and transparency in its processes
- Diversity of inputs, from a wide range of Stakeholders
- Integrity and respect in its treatment of inputs
- Public disclosure of inputs and responses
- Align with ISEAL's Code of Good Practice for Sustainability Systems.

## 2. SCOPE AND APPLICATION

This procedure applies to the development of new and revision of existing ASI Standards, including the current Performance Standard and Chain of Custody Standard, and any future Standards that might be developed.

## 3. DEFINITIONS

Term	Definition
ASI Standards	Normative texts, currently ASI Performance Standard and ASI Chain of Custody Standard, with a common ASI Glossary
ASI Standards Committee	The Standards Committee is focussed on ASI Standards and Guidance revisions, the ASI assurance model, and monitoring and evaluation of impacts. The multi-stakeholder structure of the committee provides for an equal balance in decision-making by industry (half) and civil society / Indigenous peoples (half)
Consensus	General agreement achieved through a process seeking to take into account the views of interested or affected Stakeholders, particularly those directly affected, reconciliation of conflicting arguments and characterised by the absence of sustained opposition from Stakeholders to substantial issues. NOTE – Consensus need not imply unanimity
Entity	A Business or similar which is under the ownership Control of an ASI Member. An Entity can constitute part or whole of an ASI Member. In relation to the application of the Performance Standard, the Entity seeks or holds ASI Certification and is responsible for the implementation of the Performance Standard in the defined Certification Scope

Term	Definition
Outcome	The likely or achieved short-term and medium-term results from the implementation of the Standard
Non-Substantive Changes	Correction of typographical errors or minor inconsistencies, or linguistic or formatting changes that do not involve changes to the content or performance requirements specified in the Standard
Review	An evaluative process conducted to assess the ongoing relevance, effectiveness, and impact of the ASI Standard(s). A review will be carried out to help inform the decision to revise a current Standard.
Stakeholders	In the context of this document, an individual or group interested in, concerned with, or directly affected by an ASI Standard (see also the definition of stakeholders in the ASI Glossary)
Standard	Document that provides, for common and repeated use, rules, or characteristics for products or related processes and production methods, with which compliance is voluntary. (ISEAL Code of Good Practice)

## 4. REFERENCES

- ASI Anti-Trust Compliance Policy
- ASI Performance Standard
- ASI Performance Standard Guidance
- ASI Chain of Custody Standard
- ASI Chain of Custody Standard Guidance
- ASI Communications Procedure for Changes to ASI Documents
- ASI Complaints Mechanism
- ASI Glossary
- ASI Governance Handbook
- ISEAL Code of Good Practice for Sustainability Systems

## 5. PROCESS OVERVIEW

There are six main phases in the process to develop/ revise an ASI Standard. These include:

- Initiation/ Review: Proposal for a new Standard or Review of existing Standard
- Preparation
- Development of draft
- Public Consultation
- Finalisation and Approval
- Publication.

Each of these phases is explained in more detail in the sections below.

## 6. INITIATION/ REVIEW PHASE

- 6.1. All existing ASI Standards are reviewed at least every 5 years to evaluate whether the Standards remains relevant and effective at meeting its objectives.
- 6.2. The review will be coordinated by the ASI Standards Team and overseen by the Standards Committee. The review will consider:
  - Information gathered from Stakeholder input
  - Auditing results
  - Results of ASI’s monitoring and evaluation work
  - Any urgent revisions implemented since the last version of the Standard(s)
  - External research and industry best practices, including assessments of emerging sustainability risks and opportunities
  - Changes to relevant legislation.
- 6.3. Based on the findings of the review, the ASI Standards Team will develop a proposal to the Standards Committee either to carry out a full or partial revision of the Standard(s), or make a recommendation for no revision.
  - 6.3.1. If the review process determines that a revision is not necessary, ASI will share a public summary of the review findings and the rationale for not carrying out a revision and will communicate a timeline for the next review.
- 6.4. Proposals to develop a new Standard or revise an existing ASI Standard will normally be developed by the ASI Standards Team. They can also be triggered or informed by a Stakeholder submitting a written proposal to ASI for review.
- 6.5. The proposal should include:
  - Justification for the creation of a new ASI Standard or revision of an existing Standard, along with
    1. Information including content, scope, and application of a new ASI Standard, or overview of suggested changes for an existing ASI Standard.
- 6.6. Reviews and proposals for new or revised Standard/s will be:
  - Discussed with the Standards Committee for feedback and to agree a recommendation to the Board.
  - 2. Tabled with the ASI Board along with the Standards Committee’s recommendation. The Board makes the decision to proceed and on timing (refer to section 12 of the [ASI Governance Handbook](#)).
3. Once the need for a new or revised Standard is agreed, the ASI Standards Team will update the Standard’s objectives and follow the Standard Setting and Revision procedures as outlined in this procedure.

## 7. PREPARATION PHASE

### 7.1. Stakeholder mapping

- 7.1.1. The ASI Secretariat will engage with the Standards Committee to identify Stakeholders to be directly involved.
- 7.1.2. This includes mapping different Stakeholder groups and sectors that have an interest in or are potentially affected by the Standard(s).

- 7.1.3. Key Stakeholder sectors/groups shall include overlapping and/or interested Standards programs. To encourage interoperability between related Standards programs, the ASI Secretariat will inform organisations, seek input, and encourage their participation in the Standards development or revision process.
- 7.1.4. Particular attention will be given to identifying under-represented and under-engaged Stakeholders and ensuring these are carefully considered in the Stakeholder engagement approach.
- These might include for example local communities or Indigenous Peoples affected by aluminium mining (including through the Indigenous Peoples Advisory Forum), labour associations and workers, as well as women and minority groups.

## **7.2. Establishing Terms of Reference and Timeline**

- 7.2.1. The ASI Standards Team shall develop a proposed timeline for the project, from the formal launch to proposed approval by the Standards Committee, including the expected timelines for public consultation.
- 7.2.2. In the case of a Standard revision, the ASI Standards Team shall collate information relevant to the ASI Standard and identify issues and opportunities associated with the ASI Standard, based on findings of the Review phase.
- 7.2.3. Based on findings from the Review and input from the Standards Committee, the ASI Standards Team shall develop the Terms of Reference for the Standard development/revision. This shall include:
- a) The intended scope of the Standard
  - b) The intended sustainability outcomes of the Standard, in line with ASI's strategy, theory of change, and target impact areas (not relevant for Chain of Custody)
  - c) A justification of the need for the Standard, including how it complements other Standards in the aluminium sector or with similar scopes
  - d) The intended sustainability claims that the Standard will substantiate
  - e) An overview of the phases of the process, including expected timelines and how to provide input as a Stakeholder (including during public consultation windows
  - f) A description of how decisions are made and by whom.
- 7.2.4. The Terms of Reference shall be approved by the Standards Committee and made publicly available on the ASI website and communicated to key Stakeholders (see section 12), along with channels for Stakeholders to provide any feedback or register for updates on the Standard revision/development process.

## **8. DEVELOPMENT PHASE**

### **8.1. Harmonization with other Standards**

- 8.1.1. Based on research, consultation, and Stakeholder engagement (as per the Review phase), the ASI Standards Team and Standards Committee (supported by relevant Working Groups) shall identify external Standards with complementary or overlapping scopes and shall develop options to further strengthen alignment and reduce duplication.

## **8.2. Formation of Working Groups or Technical Experts**

- 8.2.1. The Standards Committee will determine the need for any Working Group activities focusing on specific topics or content areas, as per the [ASI Governance Handbook](#).
- 8.2.2. If a new Working Group is required, it shall be established with Terms of Reference in accordance with the agreed template for establishing Working Groups, should include participants from industry and non-industry relevant to the scope, and it shall be approved by the Standards Committee.
- 8.2.3. External subject matter expertise or technical experts may also be engaged to support the Working Groups or Standards Committee directly, subject to consideration of financial resources required and approval from the ASI CEO.

## **8.3. Developing the Consultation Draft**

- 8.3.1. The ASI Secretariat will develop a draft of the new or revised Standard, in close collaboration with the Standards Committee, Working Groups, and any technical experts.
- 8.3.2. Standard development shall follow key principles as below:
- a) Implementable
  - b) Auditable
  - c) Simple, clear, and concise
  - d) Each requirement should express a single expectation
  - e) Focused – covering all material sustainability issues and intended outcomes, but not including irrelevant or administrative requirements
  - f) At least as stringent as local regulatory requirements
  - g) Providing citations or cross references where required.
- 8.3.3. An auditability review and feasibility assessment shall be carried out of the draft Standard prior to public consultation. Feedback from these reviews shall be considered in the draft and used to help inform any specific questions during public consultation.
- 8.3.4. The draft of the ASI Standard shall be subject to the legal review process outlined in section 8.4 prior to release for public consultation.
- 8.3.5. The Standards Committee shall formally approve the public consultation draft prior to launching consultation.

## **8.4. Legal Review**

- 8.4.1. New or revised ASI Standards shall be subject to a legal review carried out by an appropriately qualified legal counsel nominated by the ASI Secretariat.
- 8.4.2. The purpose of the legal review shall be to:

- a) Assist ASI to act in accordance with applicable laws
- b) In particular, ensure ASI acts in accordance with the [Anti-Trust Compliance Policy](#)
- c) Bring legal issues to the attention of the ASI Secretariat and/or Standards Committee and/or ASI Board and recommend courses of action as deemed appropriate.

8.4.3. Legal review shall occur at the following stages, as applicable:

- a) Prior to each public consultation period
- b) Prior to final ASI Board Approval.

## 9. CONSULTATION PHASE

- 9.1. Development of new Standards or revision of existing Standards will undergo two phases of public consultation, with each phase a minimum of 60 days.
- 9.2. For revisions to existing Standards, the second consultation phase may focus on selected areas or changes since the first consultation phase.
- 9.3. The ASI Standards Team shall develop a clear and accessible format for public consultation, and ensure all materials are translated into primary languages used by key Stakeholders.
- 9.4. The launch of a public consultation round shall be clearly communicated to all Stakeholders, as per section 12.2–12.3.
- 9.5. During the consultation phase, specific attention will be given to under-engaged and under-represented Stakeholders, as per 7.1.4; to ensure their feedback and opinions are considered.
- 9.6. All comments received will be recorded, reviewed, and analysed by the ASI Standards Team in dialogue with the Standards Committee.
- 9.7. A compilation of feedback and comments received during the public comment period and a synopsis of how they are being addressed will be summarised and made publicly available on the ASI website, shared through the ASI newsletter, and emailed directly to any commenters who choose not to receive the ASI newsletter (see section 12.1 and 12.5).

## 10. FINALISATION AND APPROVAL STAGE

- 10.1. The ASI Standards Team and Standards Committee, in collaboration with Working Groups and technical experts, shall review the consultation feedback and propose changes to the draft Standard, based on this feedback.
- 10.2. Where substantive changes are made based on consultation feedback, an updated feasibility and/or auditability review (focusing on specific areas impacted) shall be carried out. The findings of this review shall be taken into consideration in the finalisation of the Standard.

- 10.3. The final draft of the Standard shall be subject to the legal review process outlined in section 8.4 prior to release for public consultation.
- 10.4. Upon completion of the final draft of the Standard, final approval of the content shall be made by the Standards Committee, with a recommendation for adoption by the ASI Board in the form of a By-Law.
- 10.5. The Board will review the Committee recommendation and, where due process has been followed by the Standards Committee and no material risks are identified including from the Legal Review as per 8.4, document its decision to adopt the new or revised ASI Standard by making it a By-Law.
- 10.6. Where the Board reviews the recommendation and determines that either due process has not been followed and/or identifies a material risk to ASI, the Board will refer the proposed/revised Standard back to the Standards Committee for further work.
- 10.7. Approval by the Standards Committee and adoption by the Board are subject to the decision-making and Consensus processes (or voting, in the event that consensus ultimately cannot be reached on a decision) outlined in the [ASI Governance Handbook](#).

## 11. PUBLICATION STAGE

- 11.1. Once the Standard has been approved by the ASI Board, the ASI Secretariat will prepare the final document for publication.
- 11.2. Only editorial corrections can be made during this stage.
- 11.3. The approved Standard will be published on the ASI website within 60 days of Board Approval (unless otherwise specified in the Terms of Reference) and the issuance and key details communicated to all Stakeholders, including Accredited Auditors and Certified Members, as detailed in the *ASI Communications Procedure for Changes to ASI Documents*. Translated versions of the Standard may in some cases take additional time beyond this period.
- 11.4. The approved ASI Standard document shall include:
  - a) Date of publication
  - b) Next review date (a maximum of five years)
  - c) Official language and a note that in case of inconsistency between versions, reference shall default to the official language version
  - d) Contact point where requests for clarification and general feedback can be sent
  - e) Reference to the ASI Complaints Mechanism (where appropriate)
  - f) In the case of revisions, the transition period that will apply for when Members must comply with the revised ASI Standard.

## 12. COMMUNICATION AND RECORD KEEPING

- 12.1. The ASI Standards Team shall make publicly available on the ASI website all relevant information about Standards development and applicability, including:
- a) Implementation dates for new or revised Standards
  - b) Future expected review dates
  - c) Translated versions of Standards and guidance
  - d) Standards setting procedures (including decision-making roles)
  - e) Terms of Reference for Standards
  - f) For recent revisions, the summary of comments received during public consultation and how these were addressed
  - g) For active Standards, any interpretations or adjustments to the Standard (e.g., based on implementation or local context challenges), as well as a description of any urgent substantive revisions if relevant (see section 15).
- 12.2. The launch of a public consultation round shall be officially announced to the ASI mailing list and added to the ASI website with prior notification at least 30 days ahead. Reminders and updates on the consultation period and processes will be regularly communicated via ASI mailouts and other targeted Stakeholder communications.
- 12.3. The announcement for consultation shall include:
- a) A brief and clear description of the scope and objectives of the Standard
  - b) The justification of the need to introduce or revise the Standard
  - c) The estimated timeline for completion of the Standard
  - d) The opportunity and process to submit written comments
  - e) ASI contact details.
- 12.4. Once the final version of a Standard has been approved by the Board, the ASI Secretariat will:
- a) Update the internal document register with all relevant details as per section 12.1
  - b) Set up a process to monitor and record feedback from Members, certified Entities, and other interested Stakeholders. Key concerns or substantive feedback will be discussed with the Standards Committee to consider as part of future revisions. Urgent substantive feedback shall be considered separately as per section 15.
- 12.5. Key records shall be kept for at least 5 years, including public consultation drafts and final versions of Standards, a summary of comments received and responded to during public consultation, key decisions taken by the Standards Committee and ASI Board, and Standards-related procedures.

### **13. DEVELOPMENT AND REVISION OF GUIDANCE**

- 13.1. The ASI Standards are supported by extensive guidance, training, and other tools to help Entities, auditors, and other key Stakeholders understand and implement the Standards.

- 13.2. Essential guidance, which covers the intent and basic interpretation of the criterion or requirements in the ASI Standard, shall generally be developed (or revised) in parallel with the Standards, in line with this Standards Setting and Revision Procedure.
- 13.3. For any other guidance development or revision (e.g. detailed implementation guidance, or changes to guidance between Standard revision cycles), the Standards Committee shall decide on the appropriate process to be followed, including whether selected elements of the Standards Setting and Revision Procedure should be adopted (e.g. public consultation, auditability review, etc).

## 14. NON-SUBSTANTIVE CHANGES

- 14.1. Non-substantive changes may be corrected by the ASI Secretariat and approved by the ASI CEO at any time without the need for a formal revision process.
- 14.2. Any changes made shall be notified to the ASI Board and ASI Standards Committee.
- 14.3. ASI shall publish a list of the non-substantive changes on the ASI website.
- 14.4. Non-substantive changes do not affect the regular review and revision cycle but shall require a new version number of the relevant ASI Standard, to be issued and published on the ASI website.

## 15. URGENT SUBSTANTIVE REVISIONS

- 15.1. The CEO and/or the Standards Committee may identify a need for an urgent revision to the Standard. This need could arise from:
- a) Substantiated Stakeholder complaints under the ASI Complaints Mechanism
  - b) Unforeseen implementation issues affecting multiple Entities
  - c) Risks to ASI's credibility
  - d) Legislative changes or new international obligations impacting the Standard.
- 15.2. Upon identifying such a need, the CEO and/or the Standards Committee will direct the ASI Standards Team to draft a preliminary report detailing the content, reasons and justifying the urgency of the proposed revisions.
- 15.3. Where revisions are deemed extremely urgent, they can be approved directly by the ASI CEO, based on a careful analysis of options, and with rationale clearly communicated.
- a) In this case, the Standards Committee and ASI Board are informed, and a timeline is determined by the ASI Standards team to capture further feedback and address the issues more thoroughly.
  - b) Note: This may fall into the next review cycle, or could lead to a proposal for an out-of-cycle revision to fully address the issues, as per section 6.
- 15.4. In all other cases, the Standards Committee shall review the proposed changes and the analysis of options.

- a) In this case a minimum 30-day public consultation shall be carried out on the proposed changes, and consultation feedback considered into the proposal.
- b) The finalisation, approval, and publication stages shall follow the general process as outlined in sections 10-11, with final decisions to adopt the revised Standard sitting with the ASI Board.

15.5. The revised Standard shall be communicated as per section 12, ensuring also that the rationale and description for any urgent revisions are published on the ASI website and communicated to ASI Stakeholders.

## 16. DOCUMENT CONTROL

<b>Document Name</b>	ASI Standards Setting and Revision Procedure	
<b>Revision</b>	V5.0	
<b>Publication Date</b>	30 September 2024	
<b>Approved By</b>	ASI CEO	
<b>Next Review Date</b>	Expected 2028	
<b>Revision History</b>	Version 1	Issue for use, June 2016

	Version 2	Updates against ISEAL Standards Code, August 2018
	Version 3	Updates against ISEAL Standards Code, October 2019
	Version 3.1	Minor editorial to step 22, 11 October 2019
	Version 3.2	Change of terminology to 'Terms of Reference' in 5.2.3 (now 5.2.2) and elsewhere, April 2020; and section 5.4 on Board decision-making (new clause 28 as contained in the ASI Governance Handbook, September 2019).
	Version 4	Updates to reflect the periodic revision of ASI Guidance on Implementation and how those are embedded within each applicable step.
	Version 5	Updates to ensure compliance with ISEAL's Code of Good Practice for Sustainability Systems (replaces separate previous ISEAL codes). Removal of distinction between formal and non-formal revisions, added review phase, added new process for urgent substantive revisions.

Please refer to the *ASI Box Folder > ASI Standards Setting and Revision Procedure* for the latest version of this procedure.